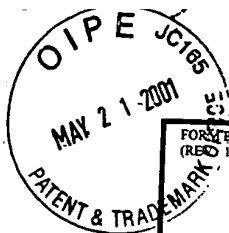




80/048896  
531 Rec'd PCT/PT 21 MAY 2001

APPENDIX A

SUBSTITUTE TRANSMITTAL LETTER  
TO THE UNITED STATES DESIGNATED/  
ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371



09775760.052101  
JC07 Rec PTO 21 MAY 2001

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE <b>SUBSTITUTE</b> <b>TRANSMITTAL LETTER TO THE UNITED STATES</b> <b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b> <b>CONCERNING A FILING UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 17795-2
INTERNATIONAL APPLICATION NO. PCT/US99/17597	INTERNATIONAL FILING DATE August 3, 1999	U.S. APPLICATION NO. (If known, see 37 CFR 1.53) 09/775,760
TITLE OF INVENTION PRODUCTION OF POLYSACCHARIDE ETHERS		PRIORITY DATE CLAIMED August 4, 1998
APPLICANT(S) FOR DO/EO/US Charles B. Mallon et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (COPY)</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p>		
Items 11 to 20 below concern document(s) or information included:		
<p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>15. <input checked="" type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input type="checkbox"/> Other items or information:</p>		

10/048896

531 Rec'd PTO 21 MAY 2001

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
09/775,760INTERNATIONAL APPLICATION NO.  
PCT/US99/17597ATTORNEY'S DOCKET NUMBER  
17795-221. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO. .... \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☒ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	19 - 20 =		x \$18.00	\$
Independent claims	2 - 3 =		x \$80.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$

**TOTAL OF ABOVE CALCULATIONS =** \$990.00☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

+

**SUBTOTAL =** \$Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =** \$Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

**TOTAL FEES ENCLOSED =** \$990.00Amount to be  
refunded:

\$

charged:

\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 21-0100 in the amount of \$ 990.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 21-0100 A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SIGNATURE

NAME

REGISTRATION NUMBER

33,810  
37 CFR 1.34(a)

~~10/040006~~  
531 Rec'd PCT/P<sup>7</sup> 21 MAY 2001

APPENDIX B

MARKED-UP COPY OF FILING RECEIPT



## UNITED STATES PATENT AND TRADEMARK OFFICE

531 Rec'd PCT/PT 21 MAY 2001

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
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09/775,760

02/02/2001

1623

710

17795-2-PC

1

A32

A2

CONFIRMATION NO. 5787

## FILING RECEIPT



\*OC000000005919178\*

 UNION CARBIDE CORP.  
 39 OLD RIDGEBURY ROAD  
 DANBURY, CT 06817

Date Mailed: 03/30/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John S. Varnes Charles B. Mallon, Residence Not Provided;  
 John I. Sarlis Fumio Takahashi, Residence Not Provided;  
 Benito See Hiroshi Suzuki, Residence Not Provided;  
 David M. Trampel  
 Ratkin Datta

Continuing Data as Claimed by Applicant

## Foreign Applications

Filing under 35 U.S.C. 371, International Application  
 Number PCT/US99/17597 filed August 3, 1999 claiming  
 priority under U.S. Provisional Application 60/095,263  
 filed August 4, 1998.

If Required, Foreign Filing License Granted 03/29/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

production of oligosaccharide ethers.  
~~Method of preparing modified cellulose ether~~

Preliminary Class:

536

Data entry by : ROBEL, ROMAN

Team : OIPE

Date: 03/30/2001

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



**APPENDIX E**

**NOTICE TO FILE MISSING PARTS**



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/775,760	02/02/2001	Charles B. Mallon	17795-2-PC

CONFIRMATION NO. 5787

## FORMALITIES LETTER



\*OC000000005919179\*

UNION CARBIDE CORP.  
39 OLD RIDGEBURY ROAD  
DANBURY, CT 06817

Date Mailed: 03/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- The Claim(s) commencing on a separate sheet (37 CFR 1.75(h)).
- A substitute specification in compliance with 37 CFR 1.52 because:
  - Line spacing on the specification, claims, or abstract is not 1-1/2 or double spaced (See 37 CFR 1.52(b)).
- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

---

*A copy of this notice **MUST** be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



05-22-01

JC19 PCT/PTO-2 MAY 2001

17795-2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/775,760

Group Art Unit: 1623

Inventor(s): Mallon et al.

Filed: 2/2/01

Title: PRODUCTION OF POLYSACCHARIDE ETHERS

NOTICE TO FILE MISSING PARTS OF  
NON-PROVISIONAL APPLICATION

Hon. Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

This communication is in response to the Notice to File Missing  
Parts of Non-Provisional Application dated March 30, 2001.

It is noted that the above-identified patent application is a U.S.  
national filing under 35 U.S.C. 371. The following are the particulars  
of the application.

International Application No.: PCT/US99/17597

International Filing Date: August 3, 1999

Priority Dated Claimed: August 4, 1998  
(Provisional No. 60/095,263)

Applicants: Charles B. Mallon  
John S. Vames  
John I. Sarlis  
Benito See  
David M. Trampe  
Rathin Datta

Due to an apparent clerical error, applicants' file does not  
contain copies of Form PTO-1390, "Transmittal Letter to the United  
States Designated/Elected Office (DO/EO/US) Concerning A Filing  
Under 35 U.S.C. 371". Accordingly, enclosed in Appendix A is a  
Substitute Form PTO-1390 for the above-identified application.

Date of Deposit: **MAY 21 2001** "EXPRESS MAIL"  
Mailing Label No. **EL180389077 US**  
I hereby certify that this paper or fee is being  
deposited with the United States Postal Service  
"Express Mail Post Office to Addressee" service  
under 37 CFR 1.10 on the date indicated above  
and is addressed to the Commissioner of Patents  
and Trademarks, Washington, D.C. 20231

Carolyn Vandergrift  
(Typed or printed name of person  
mailing paper or fee)  
Carolyn Vandergrift  
(Signature of person mailing paper  
or fee)



09775760.052101

17795-2

It is requested that a Corrected Filing Receipt be generated by the PTO. Enclosed in Appendix B is a marked-up copy of the Filing Receipt dated March 30, 2001.

In the Notice to File Missing Parts, it was alleged that the oath or declaration was missing. It is noted that an executed Declaration For Utility or Design Patent Application (Form PTO/SB/01) was filed with the U.S. Receiving Office on August 3, 1999 (copy enclosed in Appendix C).

Also, in the Notice to File Missing Parts it was alleged that:

The required item(s) identified below must be timely submitted to avoid abandonment:

- The Claim(s) commencing on a separate sheet (37 CFR 1.75(h)).
- A substitute specification in compliance with 37 CFR 1.52 because:
  - ◆ Line spacing on the specification, claims, or abstract is not 1 1/2 or double spaced (See 37 CFR 1.52(b)).
- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

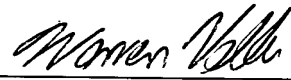
It is believed that the International Bureau has communicated, or shall communicate, amended claims (dated July 26, 2000) to the U.S. Designated Office and that the specification and abstract are presently on file in the U.S. Receiving Office. Nevertheless, for the convenience of the PTO, enclosed in Appendix D is a Substitute Specification under 37 CFR 1.125. The substitute specification is equivalent to application PCT/US99/17597, is believed to be the specification of record and contains no new matter.

Also filed herewith is a Preliminary Amendment in order to bring the claims in the substitute specification in conformance with the claims as amended on July 26, 2000 in the International Examination.

A copy of the Notice of File Missing Parts is enclosed as Appendix E.

An early and favorable Office Action is courteously solicited.

Respectfully submitted,



Warren K. Volles  
Reg. No. 33,810  
Attorney for Applicant(s)  
(203) 794-6360  
37 CFR 1.34(a)

Union Carbide Corporation  
Danbury, Connecticut 06817-0001  
Dated: May 21, 2001  
PAT 160A:5.98